



Solicitation

Technical Assistance and Conference Series

Directions for Requesting Information and Application Kits

Office for Victims of Crime (OVC)

Competitive Discretionary Grant Program

Training and Technical Assistance Center (TTAC) and Conference Series

The **Technical Assistance and Conference Series** program described in Section I, Program Announcement is assigned to an OVC Program Manager who has carefully researched and developed the solicitation. For substantive questions about this solicitation, please **contact the Program Manager, Donna Ray, Special Projects Division, at 202/616-3572.**

If you or your organization plan to publicize this kit or the program description in journals, periodicals, newsletters, on the Internet, or in any other form, contact the Program Manager and verify that the information you plan to make public is correct. Incorrect and misleading information published about the goals of OVC's discretionary programs in prior years has resulted in grant applications that are not responsive to the solicitation and cannot be considered. We wish to avoid this waste of applicants' precious resources.

For general information or to request additional application kits or forms, call Diane Wells at 202/616-1860 or Yvonne Jones at 202/616-3566 or write to: Office for Victims of Crime, 633 Indiana Avenue, NW, Washington, D.C. 20531.

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Introduction

The Office for Victims of Crime (OVC) was created by the Victims of Crime Act of 1984 (VOCA) to help ensure justice and healing for our nation's crime victims. In carrying out this mission, OVC provides funding for crucial victim services, supports training for the diverse professionals who work with crime victims, and develops projects to enhance victims' rights and services.

OVC administers two formula and many discretionary grant programs designed to benefit victims. These programs are funded by the Crime Victims Fund, which comes from the fines, penalty assessments, and bail forfeitures of federal criminal offenders -- not from tax dollars. In Fiscal Year 1996 (FY96), OVC has approximately \$220 million to support critical services to crime victims and national scope training and technical assistance activities. Three percent of all VOCA funds collected in a given year are designated for training and other assistance to expand and improve the delivery of services to crime victims, including victims of federal crimes.

Application Process

This application kit provides the necessary information and guidance for the preparation and submission of an application for an OVC discretionary program award. The kit should be used in conjunction with the Office of Justice Programs (OJP) Financial Guide. Copies of the Guide are available from the Department of Justice Response Center, 1-800-421-6770.

Section I of the application kit describes the **Training and Technical Assistance Center and Conference Series**, serves as a request for a new proposal, and outlines program specific requirements. Section II presents general application requirements and includes the necessary application forms. To receive additional application kits, please call 202/307-5983 or write to: Office for Victims of Crime, 633 Indiana Avenue, NW, Washington, D.C. 20531.

Award Period

The cooperative agreement will be for 12 months. Supplemental awards may be made annually for a period of up to 5 years, based on the recipient's performance, OVC's program needs, and the availability of funds. OVC anticipates a continuing need for training and technical assistance to support victims service programs through FY 2000. The anticipated start date is on or about July 1, 1997.

Award Amount

Up to \$2 million will be available to support this effort.

Due Dates

Applications for this competitive program ***must be received*** in OVC's mailroom in 633 Indiana Avenue, NW, Washington, D.C., 20315 by 5 p.m. on March 15, 1997. Applications can be mailed or hand-delivered. The point of contact for hand-delivered applications is James Stanfield in Room 303, 633 Indiana Avenue NW, Washington, D.C.

Eligibility Requirements

Applications are invited from public and private non-profit agencies and organizations. Applicants must demonstrate that they have the expertise and prior experience to successfully accomplish the project grant for which they are applying.

Applicants who have questions about grant application requirements or who need assistance in completing the forms may contact Diane Wells, Administrative Officer at 202/616-1860.

Section I: Program Announcement

Background

The Office for Victims of Crime (OVC) in the Office of Justice Programs (OJP) is soliciting proposals to establish a Training and Technical Assistance Center (TTAC) and Conference Series. The purpose of the series is to build the capacities of victim service agencies by developing and providing training and technical assistance to federal, state, tribal and local jurisdictions on topics of interest to the field, mobilizing specialized teams to address these topics and other identified areas of need. The TTAC will support the effective implementation of OVC discretionary grant programs created by the Victims of Crime Act of 1984, as amended, as well as any other related programs administered by the Office for Victims of Crime (OVC), Office of Justice Programs (OJP), U.S. Department of Justice.

The authorized grant programs administered by OVC include:

- State Victim Assistance and Compensation Formula Grants
- Discretionary Grants to Support Services to Crime Victims, National-Scope Training and Technical Assistance, and Demonstration Programs
- Children's Justice Act to Improve the Handling of Child Abuse in Indian Country

These programs are funded by the Crime Victims Fund which is derived from the fines, penalty assessments, and bail forfeitures of Federal criminal offenders -- not from tax dollars. In FY96, OVC has approximately \$220 million to support crucial victim services, training for diverse professionals who work with crime victims, and developing programs to enhance victims' rights and services.

Purpose

The purpose of the OVC Technical Assistance and Conference Series is to provide training and technical assistance to federal, state, tribal, and local agencies, formula and special emphasis grantees, and other public and private non-profit organizations involved in activities related to crime victims. The assistance may be provided in the form of conferences, workshops, focus groups, training programs, site-specific technical assistance, development of publications and other materials, or other forms of assistance which encourage the effective implementation of the Victims of Crime Act of 1984, as amended.

Scope of Work

The applicant shall provide all professional, technical, and clerical services, facilities, equipment, and materials to support the OVC Technical Assistance and Conference Series Program activities under the direction of the Director, OVC.

The Technical Assistance and Conference Series Program includes national conferences, regional workshops, focus group and developmental meetings, cluster meetings, and other meetings required to bring victim service providers, criminal justice practitioners, policy makers, and/or other allied professionals together around crime victim issues. It also may include site-specific technical assistance, development of publications and/or adaptation of other discretionary grant materials, and any other type of assistance to facilitate the effective implementation of the OVC grant programs, as defined by the Director, OVC.

Forms of Assistance

The following is a brief description of the various modes of providing assistance to state, federal, tribal, and local grantees and service providers that will be used under this cooperative agreement.

On-Site Technical Assistance

- **Site-Specific Technical Assistance**

Site-specific technical assistance involves the actual design, performance and evaluation of technical assistance projects tailored to the specific needs of programs and agencies dealing with crime victims. Project activities will: 1) include a variety of types of agencies (federal, state, tribal, and local criminal justice agencies and grassroots organizations); 2) address a range of crimes (homicide, sexual assault, domestic violence, hate/bias, robbery); and involve several categories of victims (children, women, the elderly).

An essential element of this assistance is the ability to establish a process for the regular assessment of technical assistance performed, determination of whether change/improvements resulted, and recommendations for improvement in project design and/or performance. This work element is expected to be a major activity under this cooperative agreement. The applicant should plan for 200 site-specific projects customized to meet the unique program needs of service providers in different parts of the country,

including Children's Justice Act grantees and Victim Assistance in Indian Country subgrantees.

- **Crisis Response Teams**

This type of assistance involves the actual delivery of rapid response victim assistance training and technical assistance to communities and federal, state, tribal, and local agencies that have unique multiple victim needs. This mechanism has been used to bring a crisis response team to the Chicago Housing Authority's Robert Taylor Homes following a weekend in which 13 people were murdered; to assist the Ramah branch of the Navajo Nation after a drunk driving crash that resulted in eight fatalities; to bring a noted psychologist to work with survivors and community members following a quadruple homicide on the Wind River Indian Reservation; and to send crisis response teams that providing training and debriefings after the tragic bombing of the Murrah Federal Building in Oklahoma City, including a nine (9) member team that was in Oklahoma City the day of the blast. This work element is not expected to be a major activity under this cooperative agreement. The applicant can expect approximately five requests for this form of assistance.

- **Mentor Program**

This form of assistance provides short-term technical assistance to Victims of Crime Act (VOCA) compensation and assistance state administrators. It is designed to allow an administrator from one state to offer technical assistance and peer consultation to an administrator in another state. This assistance is customized to meet the specialized needs of compensation and assistance VOCA administrators and may include such areas as program development, administration, assessment, financial management, and grant administration. Consultation may include assistance in developing financial and program manuals, planning and organizing statewide training establishing program standards for both compensation and local assistance programs, using an automated system, and assessing needs and service delivery strategies. The applicant can expect up to ten requests for assistance under this work element.

National Conferences

National conferences are designed to address a broad spectrum of crime victims' issues and to provide state, federal, tribal, and local grantees, service providers, and

allied professionals with state-of-the-art information on effective programs and practices. Between 200 and 500 victim service providers, including law enforcement, prosecution medical, and corrections personnel, many who have received OVC grant funds, will participate in each conference. Faculty and speakers include a mix of nationally recognized experts on victims' issues as well as victims, practitioners, and policy makers. These national conferences could take the form of video conferences telecast nationwide. This work element is not expected to be a major activity under this cooperative agreement, and the cooperative agreement will be adjusted as necessary, if and when such activity is required.

Regional Workshops

Regional workshops are training sessions held in a series at several different locations for program managers, service providers, and government executives. A series of workshops is held in locations and for time periods most convenient to regional groupings of targeted attendees. The scope of the material covered tends to be more tightly focused and more operationally oriented than national conferences, and geared to those responsible for making executive decisions within their organizations. Examples of issues addressed may include strategies for implementing victims' rights legislation, program responses for meeting the needs of underserved populations, such as victims of gang violence. They may result in response to a coordinated needs assessment conducted by Regional Field Coordinators or at the request of VOCA officials. Regional workshops may be held in three to five locations with 50 to 100 participants using an interactive format. The applicant can expect up to five requests under this work element, as well as two annual meetings for teams of Regional Field Coordinators to plan and organize a technical assistance activity for their respective regions.

Focus Groups and Program Development Meetings

Focus groups and program development meetings are small, ad hoc gatherings of experts or practitioners, usually between 10 and 20 persons, on a given subject or program, for the purposes of establishing reciprocal relationships, providing advice related to program development, offering critical analysis on issues and/or exploring and assessing information and technical assistance needs. Examples of this activity would be to bring together groups of grantees such as Children's Justice Act recipients to share information on promising approaches to serving child victims and

their families or gathering practitioners or service providers together around a particular issue such as organizing and holding successful victim impact panels. The meetings may focus on finding new ways of viewing a subject, exploring the potential impact of emerging technologies, comparing interdisciplinary perspectives, etc. Focus groups are especially useful in helping to define the scope, impact or

direction related to emerging issues or new program concepts. The applicant can expect five to ten requests for activities under this work element.

Cluster Meetings

These meetings are designed to facilitate effective program implementation of OVC funded programs by bringing together project directors and staff to discuss program results to date, problems encountered, variations on intervention strategies, and/or to provide technical assistance. This assistance is tailored to the needs of a single or small group, generally initiated in response to a request for assistance. The assistance may require a consultant(s) to be sent on-site, sending representatives from the requesting jurisdiction to a host site to view an operational program, or other assistance appropriate to the request. OVC grantees working on demonstration projects can benefit from sharing information, recommending changes to the project design, and identifying ways to overcome implementation challenges. There will be at least four cluster conferences conducted.

Development of Publications and Other Materials

These publications, brochures, briefing packages, training curricula, or other materials on crime victim issues are developed for use at conferences, workshops, or training sessions, or for distribution through general mailings to the field or other appropriate means. This task may also include editing or graphic design work for publications and materials developed by OVC, other grantees, or other Department of Justice staff. This work element is not expected to be a major activity under this cooperative agreement, and the cooperative agreement will be adjusted as necessary, if and when such activities are required.

Other Assistance

This assistance is designed to address a specific need or emerging issue and could take any form not included in the elements described above. The topic and the task will be defined by the Director, OVC. The cooperative agreement will be adjusted as necessary, if and when such activities are required.

The recipient may be required to provide technical assistance or conference series support to other OJP bureaus, to other offices within the Department of Justice, or to other federal agencies within the general scope of the cooperative agreement. Requirements to provide such services for other offices may be incorporated into

the cooperative agreement through a supplemental award with resources from the requesting office.

Tasks to be Performed

For each of the forms of assistance described above, the recipient will be responsible for the following applicable activities:

- Conducting needs assessments and surveys to determine the topics and technical assistance format that will be most useful to participants, when requested by OVC.
 - Developing and producing conference/workshop agenda and materials.
 - Compiling a list of potential speakers who are experts in the agenda subject areas.
 - Contacting selected speakers regarding availability and negotiating and administering contracts for speaker/consultant fees when necessary. Fees will not exceed the DOJ approved rate unless prior approval is secured.
 - Coordinating speaker presentations.
 - Identifying available hotels or other meeting space and coordinating all hotel/meeting arrangements.
 - Compiling a list of potential participants.
 - Developing and distributing conference/workshop notices or invitations.
 - Managing conference/workshop registration.
 - Making travel arrangements for participants and speakers using government travel contracts.
 - Processing travel reimbursements for conference participants and speakers.
 - Producing a conference summary for publication and distribution to conference participants and other interested parties, if required by OVC.
 - Producing and copying a video of conference sessions, if required by OVC.
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- Serving as a broker for technical assistance requests by working with the requester to define the need, identifying the response and/or consultant(s) to address the need, and arranging and paying for all fees and travel costs.
 - Providing research, writing, editing, and graphic design services required to develop or provide production support for requested publications, materials, etc.

- Assessing the event, including conducting an evaluation of participant satisfaction, or gathering and summarizing project director and team leader reflections on whether objectives were met, what obstacles were encountered, how the meeting might have been improved, etc. Assessments should include a follow-up with participants/recipients to determine the extent to which assistance was incorporated into practice and programs.
- Preparing recommendations for follow-on, such as publications by OVC or others, other OVC Technical Assistance and Conference Series events, or technical assistance activities.

Section II: Application Kit

Application Checklist

Use this checklist to ensure that your application is complete. Failure to include any of the following items may result in disqualification. All forms, assurances, and lists of contacts are provided in the pages that follow.

- ☐ Complete and sign the Standard Form (SF) 424, Application for Federal Assistance.
- ☐ See item 10 on the SF 424. The catalog of Federal Domestic Assistance number is 16.582 for the Victims of Crime Discretionary Grant Program and 16.583 for the Children's Justice Act Discretionary Grant Program for Native American Indian Tribes.
- ☐ Complete the Budget Detail Work Sheet.
- ☐ Sign the Assurances.
- ☐ Include the Letter to the Director, Office for Victims of Crime certifying that the federal funds will supplement, not supplant, applicant resources.
- ☐ Attach the Single Audit Act Information and the Civil Rights Information sheets.
- ☐ Complete and sign the Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements.
- ☐ Include the program abstract.
- ☐ Check to see that the program narrative addresses the items requested in "Instructions for Application Narrative."
- ☐ Print the application on 8 ½ inch x 11 inch paper on one side of the paper.
- ☐ Limit the program narrative section to 35 double-spaced pages.
- ☐ Include position descriptions, staff qualifications, and individual resumes as appendices or attachments to the program narrative.
- ☐ Submit the completed grant application with original signatures and **two additional** copies. Please do not bind or coil bind the applications.
- ☐ Submit all applications by their deadline dates.
- ☐ Mail or hand-deliver the application package to:

Office for Victims of Crime Mailroom
633 Indiana Avenue, NW.
Room 303
Washington, DC 20531-0001

Instructions for Application Narrative

Program Abstract

An abstract that highlights the purposes, goals, methods and anticipated benefits of the proposed project must be included. It should not exceed one double-spaced page.

Program Narrative

Each application must contain a program narrative that justifies and describes the program to be implemented. **The program narrative may not exceed 35 double-spaced pages on 8½ by 11 inch paper. Single-spaced or one and one-half spaced narratives will not be accepted. Margins must not be less than 1 inch, and the font must be no smaller than 12 point type. Applicants that fail to adhere to these requirements will be *automatically disqualified* from competition. The 35 page limit does not include the forms, the abstract, or essential appendices.** The position descriptions and qualifications, as well as individual resumes, may be submitted as appendices to the application. Numerous and lengthy appendices and attachments that are not directly related to the project are strongly discouraged. OVC is unable to copy videotapes or lengthy publications that are sent as examples of the grant applicant's work. Consequently, peer reviewers will not receive these attachments as part of the review process.

The program narrative must include:

1. Program Design

To demonstrate the applicant's understanding of the requirements associated with supporting the OVC National Training Center Technical Assistance and Conference Series, as well as the applicant's organizational capacity to plan and coordinate multiple conferences/meetings at one time, the applicant should outline a proposed series of national conferences, regional workshops or other meetings which could be completed or initiated during the first year with a budget of up to \$2 million, plus years 2 and 3, if the cooperative agreement is continued at the same level. Some activities initiated in one award period would be completed in the next. The outline should include a description of possible issues and topics related to crime victims, such as implementing the constitutional amendment; establishing victim notification systems; victim services for victims of gang violence or other juvenile crime, etc.; promising or model practices, such as victim impact and death notification classes, TRIAD, Sexual Assault Nurse Examiner (SANE) programs; relevant research and/or evaluation findings; or other OVC grant program issues. Also indicate the type of conference/meeting best suited to each issue.

2. Project Management and Organizational Capabilities

Effective program direction and coordination requires an organization with program development capability, the expertise and resources to manage a cooperative agreement of this complexity and scope, and a record of prompt delivery of products.

The applicant should provide a management plan which describes its proposed arrangement for supervision, coordination, and control of workflow; quality control procedures; flexibility to commit sufficient numbers of qualified staff and consultants for task requirements; and adequacy of professional and technical effort (in person hours) allotted to the project.

Applicants are encouraged to consider a team structure for each separate conference/meeting/technical assistance project, with a clearly designated team leader and as many other support persons as are required to ensure a well run and effective project. Team leaders, whether full- or part time and whether staff members or consultants, should be selected on the basis of skills and experiences. Conferences and most meetings, technical assistance, and the development of publications will also require the selective use of nationally recognized substantive experts. Because workload demands on this project are uneven, a core of full-time personnel may need to be supplemented at peak periods with part time or contract assistance.

The program manager and other designated OVC/OJP officials will have regular, often daily, contact with recipient staff during the development of a technical assistance project. The recipient may be expected to attend some meetings with OVC officials. The applicant may want to give consideration to establishing its office in the Washington, DC or metropolitan area.

The applicant must:

- Provide a list of organizations that have used or are familiar with the applicant's technical assistance and conferencing capabilities. Include the name and phone number of a contact person for each organization.
- If the applicant is not currently located in the Washington metropolitan area describe how the applicant plans to meet the requirement for regular meetings and quick turnaround of products from a distant location. If the applicant will operate from two locations, provide a breakdown of the staff that will be located in the Washington office and the functions that will be performed there, as well as staff and functions that will be performed at another location and how these activities will be coordinated.
- Indicate the applicant's in-house capabilities to produce conference/meeting materials and products, publications, briefing materials, etc. Also indicate what functions will be subcontracted and what arrangements, if any, are already in place.

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- Provide an itemized listing of computer hardware and software available for use on the project.

The recipient will prepare a detailed task plan for each approved task which will include the designation of the team leader and other required personnel; estimated work levels; a timetable of major milestones leading to task implementation; whether any subject experts are needed as consultants; a detailed estimate of the costs; and any other recommendations concerning

conference/meeting objectives, participants, timing, location, evaluation, or marketing that the subject matter and special circumstances require.

3. Budget

This cooperative agreement will be awarded for one year and will be supplemented annually for a period of up to five years (subject to performance and availability of discretionary funds). The recipient will be responsible for the following expenses:

- Staff and consultant resources to perform the project functions.
- All meeting space, audio-visual, meals, and other costs associated with the conferences/meetings unless notified differently by OVC.
- Speaker, facilitator, and consultant fees.
- Travel and per diem costs for all non-federal speakers, consultants, and participants.
- Production and distribution of conference/meeting announcements, agendas, materials, publications, etc. The printing of large numbers of publications will generally be done through the Government Printing Office.
- Any other costs associated with the planning, coordination, conduct, or follow-up of the conferences/meetings or technical assistance activities.

In identifying conference facilities and negotiating costs, the recipient shall stay within federal per diem rates. Only under unusual circumstances will costs in excess of the federal per diem rate be considered and will require justification and prior approval by the Office of the Comptroller, OJP. The recipient must submit, prior to incurring such costs, justification for lodging costs exceeding the allowable federal rate for the geographical location. Conference costs incurred without proper justification will be disallowed.

Travel and per diem costs for speakers and participants attending the activities provided under this program will generally be arranged and paid under this cooperative agreement, except for employees of the federal government. To obtain the lowest rates for travel, arrangements should generally be made through the approved government travel contract. Whenever the recipient is unable to obtain a government airfare rate for non-government

participants traveling, the recipient shall obtain the lowest airfare possible. An average airfare rate of \$650 per person should be used for budget estimation purposes.

When necessary, the recipient may negotiate a fee of up to \$250 per day for the services of speakers, instructors, and other consultants. In negotiating the fee, the recipient must consider past experience and salary levels. Fees may not be paid to federal employees and generally are not paid to state and local government employees who are performing this activity in their official capacity.

It is the policy of OJP that all costs should be budgeted directly. However, if an applicant has an indirect cost rate that has been approved by a federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller at 202/307-0623, to obtain information about preparing an indirect cost rate proposal.

4. Assessment

Each application must provide a plan for assessing the project's effectiveness. The assessment should address items such as the units of service provided, number of individuals trained, number of agencies provided technical assistance, number/type of products disseminated, user satisfaction, cost-effectiveness of the program, and the benefit to the field. Information about how well it worked, unanticipated benefits that resulted, and the replicability of the program are elements that can be included in the plan for assessing the program. For technical assistance projects, applicants should develop a mechanism for gathering feedback from both the users and providers of the technical assistance. Assessment information must be submitted as part of task reports, progress reports, and the final report that is due within 120 days of project completion.

Procedures for Selection

Applications will be reviewed internally for completeness and basic responsiveness to the individual solicitation. They will then be evaluated by a panel of government personnel who will use the weighted evaluation criteria below as the basis for individually scoring each component of an application. Then, as a group, they will generate an average score and rank for each application based on the extent to which they meet the selection criteria listed below, and make a recommendation for funding to the OVC Director.

For applicants who have received prior federal grant awards, previous performance will be considered in the selection process. The OVC Director has the ultimate authority to select an application for funding and may depart from the peer review panel's recommendations.

Selection Criteria

1. **Organizational Capability** (30 points): Points will be awarded based on the applicant's statement of the organization's capability to successfully undertake this federally funded project. The application must demonstrate that the organization

has the expertise, staff, and prior experience to be successful in accomplishing the project grant. This will consist of two parts: (1) a specific description of the applicant's management structure, previous experience with similar or related efforts, and financial capability (15 points); and (2) a project management plan and documentation of the professional staff members unique qualifications to perform their assigned tasks (15 points).

Applicants must clearly establish that their experience and resources will enable them to achieve the goals and objectives of the grant for which they are applying.

2. **Project Strategy/Design** (30 points): This is an evaluation of how well the project design supports the purpose and goals of the grant. This includes a description of project components and activities; and a specific plan for how the grant applicant intends to achieve the purpose, goals, and objectives of the funded program. The strategy or design must include clear descriptions of interim deliverables and final products. The benefit to the field or the usefulness of the project in relation to the goals of the grant are the major weighing factors for this criteria.
3. **Implementation Plan** (15 points): This plan will be judged on the realistic identification of tasks in relationship to the project period, and the assignment of specific staff to the tasks included in the time-task line. It must be clear that there is sufficient staff and time to accomplish the tasks proposed in the grant in a cost-effective manner. This criterion measures how well the program will be managed.

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4. **Budget** (15 points): Points will be awarded based on the enumeration and accompanying narrative of grant costs, to be evaluated for clarity, reasonableness, allowableness, and cost effectiveness. How budget items are computed and why they are vital to the project must be clearly explained.
 5. **A Plan to Assess the Project's Accomplishments** (10 points): This assigns points based on the grant applicant's plan for assessing the impact of the project in accomplishing its goal(s).

Administrative and Financial Requirements

Discretionary grant funds are governed by the provisions of the Office of Management and Budget (OMB) circulars A-110, A-122 and 128. Additional information and guidance are contained in the Office of Justice Programs' *Financial Guide*. This Guide

includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. Copies of the Guide are available from the Department of Justice Response Center, 1-800- 421-6770.

Grant Funds Must Supplement and Not Supplant

A written certification, in the form of a letter addressed to the Director, Office for Victims of Crime must be included in the application kit. This letter must certify that federal funds will be used to supplement existing funds for program activities and not replace those funds which have been awarded or appropriated for the same purpose. If the funds will support a new activity that has received no prior federal funds, this should be stated. Potential supplanting will be the subject of application review, as well as pre-award review, post-award monitoring, and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

Audit Requirement

State and local governments are governed by the Single Audit Act of 1984 and OMB Circular A-128, "Audits of State and Local Governments." Non profit organizations, hospitals and institutions of higher education are governed by OMB Circular A-133, "Audits of Institutions of Higher Education and Other Non profit Institutions." The type of audit required under these circulars is dependent upon

the amount of federal funds that can be audited during the recipient's fiscal year. For example:

- If the organization receives \$100,000 or more per year in federal funds, the organization shall have an organization-wide financial and compliance audit.
- If the organization receives between \$25,000 and \$100,000 a year in federal funds, the organization may elect to have an organization-wide audit or program audit.
- If the organization receives less than \$25,000 a year in federal funds, the organization shall be exempt from the audit requirement.

Applicants are required to provide the period of the organization's fiscal year and the name of the organization's cognizant federal agency in block 11 of the SF 424. The

cognizant federal agency is generally determined based on the source of most of the federal dollars received by the applicant.

Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should read and sign the certification form included in this application kit. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, “New Restrictions on Lobbying,” and 28 CFR Part 67, “Government-Wide Debarment and Suspension (Non-procurement) and Government-Wide Requirements for Drug-Free Workplace (Grants).” The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in awarding grants.

Civil Rights

All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. All applicants should consult the assurances to understand the applicable legal and administrative requirements.

If any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the OJP Office of Civil Rights.

If the applicant is applying for a grant of \$500,000 or more, U.S. Department of Justice regulations (28 CFR 42.301 *et seq.*) require an Equal Employment Opportunity Plan. It should be included with the application submission if it is not already on file.

Program Monitoring

Award recipients and Project Directors assume certain responsibilities as part of their participation in government-sponsored grant programs. OVC’s monitoring activities are intended to help grantees meet these responsibilities. They are based on good

communication and open dialogue, with collegiality and mutual respect. Some of the elements of this dialogue are:

- Communication with OVC in the early stages of the grant, as the project design is developed and operationalized.
- Timely communication with OVC regarding any developments that might affect the project's compliance with the schedules, activities, and products set forth in the proposal.
- Communication with other OVC grantees conducting related training and technical assistance or demonstration projects. An OVC meeting with discretionary grantees should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- Providing OVC on request with brief descriptions of the project and its activities at such time as the information may be needed to meet OVC's reporting requirements to Congress. OVC will give as much advance notification of these requests as possible, but will expect a timely response from grantees when requests are made. OVC is prepared to receive such communication through electronic media.
- Providing OVC with information about presentations made at conferences, meetings, and elsewhere based on the work of the project.

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- Providing OVC with prepublication copies of articles based on the project appearing in professional journals or the media, either during the life of the grant or after.
 - Making presentations to OVC staff on the activities of the project.

Reporting Requirements

Progress Reports: OVC Program Managers should be kept up-to-date on project activities. Recipients are required to submit an initial quarterly and subsequent semi-annual progress reports. The progress reports will document for each task the expected versus actual accomplishments within the reporting period, describe planned activity for the next reporting period, and provide a concise statement of all problems encountered and solutions proposed. Progress reports are due for the first full quarter the grant is

active and then every six months after that for the remainder of the award period. Progress reports are due on the 30th day following the end of that reporting period.

For example, if the grant award date is October 1, the first report would cover the period from October through December and would be due January 30. The next report would cover the period of January through June and would be due July 30. If the date on the award is November 1, the first report would cover the period of November through March (January through March being the first full quarter the award is active) and would be due April 30. The next report would cover the period of April through September and would be due October 30. A report is due every six months.

A final report, which provides a summary of progress toward achieving the goals and objectives of the grant, major project activities, significant results, and any products developed under the grant, is due 120 days after the end date of the grant. Report forms will be provided to the recipient by the Office of Justice Programs.

Financial Status Reports: Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every full quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package.

Fund draw-downs and future awards may be withheld if progress and financial status reports are delinquent.

The financial reports should document, for each task and for the cooperative agreement as a whole, actual costs versus planned costs for the reporting period, cumulative costs versus budgeted funds to date, and the balance remaining in each approved category of cost. It will be considered beneficial if graphic displays can be devised to facilitate quick and accurate performance monitoring by means of these reports.

Task Reports: Upon the completion of each task, the recipient shall deliver a report which includes the following:

- A record of the event which may be in the form of proceedings, minutes, general summary, technical assistance report, or other format required by OVC depending upon the nature and purpose of the event and task order specifications.
- Assessment of the event, including participant satisfaction ratings or project director and team leader reflections on whether objectives were met, what obstacles were encountered, how the meeting might have been improved, etc.
- Recommendations for follow-on such as publications by OVC or others, other OVC Technical Assistance and Conference Series events, or technical assistance activities.

Completed task reports are due two weeks following task completion, except for conference proceedings, which will be delivered in draft within 90 days of the conference.

The recipient will also be required to conduct follow-up assessments with conference participants and technical assistance recipients, as appropriate, to determine what, if any, changes in policy or practice have been implemented as a result of the assistance. A report on this assessment will be due within 6 months of the conference or technical assistance event.

It is expected that the recipient will have a fully tested and operational automated management information system capable of tracking the status of each task and

the obligation and expenditure of funds for each task, and producing regular reports. Government funds will not normally be used to purchase such equipment.

Timeliness

Grantees are expected to complete award products within the time frames that have been agreed upon by OVC and the grantee. OVC recognizes that there are legitimate reasons for project extensions. However, OVC does not consider the assumption of additional projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn from the grantee. Future applications from either the Project Director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

Publications

In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. OVC imposes no restriction on such publications other than the following acknowledgment and disclaimer:

This project publication was supported by grant number _____ from the Office for Victims of Crime. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Suspension or Termination of Funding

The Office of Justice Programs may suspend, in whole or in part, terminate funding for, or impose another sanction on a grantee for the following reasons:

- Failure to make satisfactory progress toward the goals or strategies set forth in a cooperative agreement or grant application;
 - Failure to adhere to grant agreement requirements, standard conditions, or special conditions;
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- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
 - Failure to submit reports; or
 - Filing a false certification in the application or other report or document.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the grantee of its intent to impose sanctions and will attempt to resolve the problem informally. Hearing and appeal procedures will follow those in Department of Justice regulations in 28 CFR part 18.

Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies for application for federal assistance. It contains 18 different items, all of which are to be completed in order for your application to be reviewed. The Office for Victims of Crime cannot accept the application without a completed and signed SF 424.

- Item 1 Type of Submission:** OVC discretionary grant funds cannot be used for construction or building purposes. Check the “Non-Construction” box in the application section.
- Item 2 Date Submitted:** Indicate the date you sent the application to OVC. The “Application Identifier” is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
- Item 3 Date Received by State:** Leave blank. OVC applicants are exempted from the requirement to submit applications to a State Single Point of Contact.
- Item 4 Date Received by Federal Agency:** This item will be completed by OJP.
- Item 5 Applicant Information:** The “Legal Name” is the unit of government or the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus, the city or township should be entered into the Legal Name box and the name of the law enforcement or other agency should be entered into the Organizational Unit box. One person should be designated as the contact for the proposed project, and that person’s telephone number should also be included. It is not unusual for the name of the contact person to differ from the authorized representative of your agency in item 18 below.
- Item 6 Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service. Generally,
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this number can be easily obtained from your agency's accountant or comptroller.

- Item 7** **Type of Applicant:** Enter the appropriate letter in the space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering "consortium."
- Item 8** **Type of Application:** Check "new".
- Item 9** **Name of Federal Agency:** Type in "Office for Victims of Crime."
- Item 10** **Catalog of Federal Domestic Assistance Number:** For OVC discretionary grants, the number is 16.582, and the title is Crime Victim Assistance/Discretionary Grants. The number for the Children's Justice Act Discretionary Grant Program for Native Americans is 16.583.
- Item 11** **Descriptive Title of Applicant's Project:** Type in: (1) the title of the program as it appears in the solicitation or announcement, and (2) the name of your cognizant federal agency. The cognizant federal agency is generally the federal agency from which the applicant agency receives the most federal dollars.
- Item 12** **Areas Affected by Project:** Identify the geographic area(s) encompassed by the project. Indicate "Statewide" or "National," if applicable.
- Item 13** **Proposed Project Dates:** Fill in the begin and end dates of the project. These dates may be adjusted by the OVC when the award is made.
- Item 14** **Congressional Districts:** Fill in the number of the congressional district in which the project will be located as well as the congressional district(s) the project will serve. Indicate "Statewide" or "National," if applicable.
- Item 15** **Estimated Funding:** On line "a", type in the amount of federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines "b through f", as appropriate.
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- Item 16** **State Executive Order 12372:** OVC applicants are exempted from the requirement to submit applications to a State Single Point of Contact.

- Item 17** **Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.
- Item 18** **Authorized Representative:** Type the name of the person legally authorized to enter into contracts on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as “original” to help distinguish the original from the photocopies.

APPENDIX A. Forms

Budget Detail Worksheet Form

Sample Budget Detail Worksheet Form

Assurances Form